

National Science Foundation Report on FY 2012 Funding to Minority Serving Institutions

The National Science Foundation Authorization Act of 2002 (P.L. 107-368, Section 18). requires the National Science Foundation (NSF) to report annually on funds awarded to all identified minority serving institutions (MSIs)¹. This report tracks NSF funding to MSIs from its FY 2012 appropriation.

The NSF's FY 2012 appropriation was \$7.0 billion of which \$6.7 billion was identified to support new and continuing awards for Research and Related Activities (R&RA), Education and Human Resources (EHR), and Major Research Equipment and Facilities Construction (MRE).

The NSF's total investment to all MSIs in FY 2012 was \$265.0 million. This amount represents 5.1 percent of the \$5.2 billion awarded to all institutions of higher education (IHEs). This is a 5.6 percent decrease from the FY 2011 level (\$280.7 million).

In FY 2012, awards to HBCUs, JIBEs, and TCUs totaled \$253.4 million or 4.8 percent of funding to all IHEs. This is a decrease from the FY 2011 level (\$265.4 million). NSF's funding to Majority Minority Serving Institutions (MMSIs)², Alaska Native and Native Hawaiian Serving Institutions, Pacific Island IHEs, and institutions with High African American Enrollment (HAAE)³ and those primarily serving students with disabilities (DSIs) was \$11.6 million or 0.2 percent of funding to all IHEs. The following table provides a breakout by budget category of the NSF funds awarded.

¹ Identification of MSIs and IDIEs is based on the 2006 U.S. Accredited Post Secondary Minority Institutions, U.S. Department of Education (ED), Office of Civil Rights Data. It is the most recent list available. A minority postsecondary institution is defined as an institution "whose enrollment of a single minority or a combination of minorities...exceeds 50 percent of all enrollment" 20 U.S.C. § 1067k(3). NSF uses ED's list to recognize those IHEs with considerable enrollment of Alaska Natives, Native Hawaiians, a substantial number of historically underrepresented minority populations (i.e. African-Americans, Native Americans, and Hispanics). The complete list of MSIs is available on-line at <https://www2.ed.gov/about/offices/list/ocr/edlite-minorityinst.html>. In addition, NSF tracks its funding to institutions that primarily serve people with disabilities (DSIs) and those with high African American enrollment. This permits a more complete report of NSF investments to MSIs and helps inform the Foundation's actions as it works toward its goal of broadening participation in the science and engineering workforce.

² IHEs as identified by ED with total minority enrollment greater than or equal to 50 percent of total student enrollment. To avoid double counting, funds identified in the MMSI category excludes all funding to named categories of minority serving institutions (e.g., HBCU).

³ Following the issuance of Executive Order 13621, White House Initiative on Educational Excellence for African Americans, NSF began tracking IHEs that reported to ED as having a total African American undergraduate enrollment greater than or equal to 40 percent.

**FY 2012 NSF Direct Funding to Minority Serving Institutions
(Millions of Dollars)**

| TYPE | EHR | MRE | R&RA | H-1B | Total* | Funding to All IHEs | MSIs as a Percent of IHE Funding |
|--|----------------|-------------|----------------|---------------|----------------|---------------------|----------------------------------|
| HBCUs, HHEs & TCUs | \$110.3 | \$ 0 | \$127.1 | \$16.0 | \$253.4 | \$5,230.7 | 4.8% |
| MMSIs ⁴ , Alaska-Native and Native Hawaiian Serving, Pacific Island IHEs, HAAEs, and DSIs | \$ 5.5 | \$0 | \$ 4.7 | \$ 1.3 | \$ 11.6 | \$5,230.7 | 0.2% |
| Total | \$115.8 | \$ 0 | \$131.8 | \$17.3 | \$265.0 | \$5,230.7 | 5.1% |

*Numbers may not add due to rounding.

As reported in previous years, the table below provides data on NSF funding by budget category to HBCUs, HHEs, and TCUs in FY 2012 and the preceding 10 years. The funding as a percentage of total funding to all IHEs is also included.

NSF Direct Funding to HBCUs, HHEs, and TCUs (Millions of Dollars)

| Year | EHR | MRE | R&RA | H-1B | Total | Funding to All IHEs | HBCUs, HHEs & TCUs as a Percentage of All IHE Funding |
|----------------------------|---------|-----|---------|--------|----------------------|---------------------|---|
| 2002 | \$ 80.6 | \$0 | \$ 50.6 | \$ 7.4 | \$ 138.6 | \$ 3,492.6 | 4.0% |
| 2003 | \$ 89.3 | \$0 | \$ 59.6 | \$ 8.5 | \$ 157.4 | \$ 3,952.2 | 4.0% |
| 2004 | \$ 92.6 | \$0 | \$ 66.3 | \$ 5.7 | \$ 164.5 | \$ 4,170.2 | 3.9% |
| 2005 | \$ 99.4 | \$0 | \$ 63.3 | \$ 2.7 | \$ 165.4 | \$ 3,969.0 | 4.2% |
| 2006 | \$ 93.3 | \$0 | \$171.4 | \$16.8 | \$281.5 ^s | \$ 4,104.5 | 6.9% |
| 2007 | \$103.3 | \$0 | \$ 65.4 | \$ 9.0 | \$ 177.7 | \$ 4,327.6 | 4.1% |
| 2008 | \$101.0 | \$0 | \$ 97.7 | \$11.4 | \$ 210.1 | \$ 4,464.5 | 4.7% |
| 2009 | \$113.6 | \$0 | \$120.1 | \$ 7.7 | \$ 241.4 | \$ 4,685.2 | 5.2% |
| 2010 | \$112.4 | \$0 | \$122.8 | \$12.3 | \$247.5 | \$5,080.4 | 4.9% |
| 2011 | \$113.1 | \$0 | \$140.4 | \$11.8 | \$265.4 | \$5,136.0 | 5.2% |
| 2012 | \$110.3 | \$0 | \$127.1 | \$16.0 | \$253.4 | \$5,230.7 | 4.8% |
| Percent Increase from 2002 | 37% | \$0 | 151% | 116% | 83% | 50% | |

In FY 2012, there was an decrease from 2011 in funding from R&RA and EHR (\$13.3 million and \$2.8 million respectively) to HBCUs, HHEs, and TCUs and an increase in the H-1B funding (\$4.2 million). Also of note, over the 11-year period the percentage of increase in funding collectively to HBCUs, HHEs, and TCUs (83%) continues to exceed the percentage of increase in funding to all IHEs (50%).

⁴ Excludes HBCUs, HHEs, and TCUs that are also eligible for this classification.

^s NSF's FY 2006 identification of HHEs for tracking purposes did not reflect the Higher Education Act's definition. Starting in FY 2007, NSF standardized its identification of IHEs with the Department of Education's listing.

While the number of proposals submitted and awards issued to these categories of institutions varied, there was little change in their overall success rate.

As stated in our current strategic plan, *"Empowering the Nation Through Discovery and Innovation,"* the NSF is committed to broadening participation. We continue to review the MSI funding data and trends and identify probable causes for the fluctuations. Two major factors impact the funding fluctuation within categories. First is annual variability - that is variability in the dates program solicitation are issued and proposals are due, frequency of competitions, and the interest and activity of the proposing community. Second is the type of award issued.

The overwhelming majority of NSF assistance awards are either (1) standard, where all funds for all project years are awarded at one time, or (2) continuing, where the funds are awarded incrementally at set time intervals (usually annually) based on progress and other required deliverables. The timing of incremental funding, especially for large awards supporting centers and partnership activities, may have a significant impact on the total annual funding.

MSIs have an important role in the preparing the next generation of scientist and engineers. In addition, they continue to make important contributions to the NSF's portfolio of the highest quality research and education projects that further our strategic goals and reflect national priorities.

Attachment

Appendix Table 1- Funding breakout by appropriation category and institution type (HBCUs, HHEs, and TCUs) for the years 2002 - 2012.

Appendix Table 1

Direct NSF Funding to Minority Serving Institutions for Fiscal Year 2002-2012

Appropriation: Education & Human Resources

(BIIS Univ cut) as of: 5 NOV 2012

| FY | All IHEs | HBCUs | HBCU% of IHE | HHEs | HHE% of IHE | TCUs | TCU% of IHE | Total HBCU, HHE, & TCU | Total HBCU, HHE, & TCU % of IHE |
|------|----------|---------|--------------|---------|-------------|---------|-------------|------------------------|---------------------------------|
| 2002 | \$591.9M | \$38.5M | 6.5% | \$30.0M | 5.1% | \$12.1M | 2.0% | \$80.6M | 13.6% |
| 2003 | \$681.9M | \$37.0M | 5.4% | \$39.8M | 5.8% | \$12.5M | 1.8% | \$89.3M | 13.1% |
| 2004 | \$709.4M | \$55.3M | 7.8% | \$30.0M | 4.2% | \$7.3M | 1.0% | \$92.6M | 13.1% |
| 2005 | \$658.3M | \$46.9M | 7.1% | \$42.1M | 6.4% | \$10.4M | 1.6% | \$99.4M | 15.1% |
| 2006 | \$542.0M | \$45.2M | 8.3% | \$38.3M | 7.1% | \$9.8M | 1.8% | \$93.3M | 17.2% |
| 2007 | \$612.2M | \$53.2M | 8.7% | \$39.7M | 6.5% | \$10.3M | 1.7% | \$103.3M | 16.9% |
| 2008 | \$617.0M | \$59.4M | 9.6% | \$31.8M | 5.2% | \$9.8M | 1.6% | \$101.0M | 16.4% |
| 2009 | \$672.9M | \$61.2M | 9.1% | \$38.5M | 5.7% | \$14.0M | 2.1% | \$113.6M | 16.9% |
| 2010 | \$689.5M | \$56.8M | 8.2% | \$43.7M | 6.3% | \$11.9M | 1.7% | \$112.4M | 16.3% |
| 2011 | \$693.5M | \$66.6M | 9.6% | \$34.7M | 5.0% | \$11.8M | 1.7% | \$113.1M | 16.3% |
| 2012 | \$685.7M | \$64.3M | 9.4% | \$36.4M | 5.3% | \$9.6M | 1.4% | \$110.3M | 16.1% |

Appropriation: Major Research Equipment

| FY | All IHEs | HBCUs | HBCU% of IHE | HHEs | HHE% of IHE | TCUs | TCU% of IHE | Total HBCU, HHE, & TCU | Total HBCU, HHE, & TCU % of IHE |
|------|----------|--------|--------------|--------|-------------|--------|-------------|------------------------|---------------------------------|
| 2002 | \$49.9M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2003 | \$82.9M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2004 | \$53.4M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2005 | \$43.1M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2006 | \$55.3M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2007 | \$25.6M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2008 | \$47.6M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2009 | \$73.1M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2010 | \$80.9M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2011 | \$25.2M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |
| 2012 | \$22.0M | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% | \$0.0M | 0.0% |

Appropriation: Research and Related Activities

| FY | All IHEs | HBCUs | HBCU% of IHE | HHEs | HHE% of IHE | TCUs | TCU% of IHE | Total HBCU, HHE, & TCU | Total HBCU, HHE, & TCU % of IHE |
|------|------------|---------|--------------|----------|-------------|--------|-------------|------------------------|---------------------------------|
| 2002 | \$2,806.1M | \$12.5M | 0.4% | \$37.9M | 1.4% | \$0.2M | 0.0% | \$50.6M | 1.8% |
| 2003 | \$3,156.2M | \$13.4M | 0.4% | \$44.5M | 1.4% | \$1.7M | 0.1% | \$59.6M | 1.9% |
| 2004 | \$3,361.9M | \$15.3M | 0.5% | \$49.0M | 1.5% | \$2.0M | 0.1% | \$66.3M | 2.0% |
| 2005 | \$3,255.8M | \$13.7M | 0.4% | \$49.3M | 1.5% | \$0.3M | 0.0% | \$63.3M | 1.9% |
| 2006 | \$3,416.1M | \$21.1M | 0.6% | \$149.8M | 4.4% | \$0.5M | 0.0% | \$171.4M | 5.0% |
| 2007 | \$3,564.2M | \$15.0M | 0.4% | \$49.9M | 1.4% | \$0.5M | 0.0% | \$65.4M | 1.8% |
| 2008 | \$3,689.7M | \$29.7M | 0.8% | \$68.4M | 1.8% | \$1.7M | 0.0% | \$97.7M | 2.6% |
| 2009 | \$3,864.8M | \$31.0M | 0.8% | \$84.6M | 2.2% | \$4.5M | 0.1% | \$120.1M | 3.1% |
| 2010 | \$4,223.7M | \$25.8M | 0.6% | \$95.3M | 2.3% | \$1.7M | 0.0% | \$122.8M | 2.9% |
| 2011 | \$4,333.2M | \$23.1M | 0.5% | \$115.8M | 2.7% | \$1.4M | 0.0% | \$140.4M | 3.2% |
| 2012 | \$4,439.4M | \$30.2M | 0.7% | \$96.5M | 2.2% | \$0.1M | 0.0% | \$127.1M | 2.9% |

Appropriation: H-1B Visas Receipts

| FY | All IHEs | HBCUs | HBCU% of IHE | HHEs | HHE% of IHE | TCUs | TCU% of IHE | Total HBCU, HHE, & TCU | Total HBCU, HHE, & TCU % of IHE |
|------|----------|--------|--------------|---------|-------------|--------|-------------|------------------------|---------------------------------|
| 2002 | \$44.8M | \$2.9M | 6.4% | \$3.9M | 8.6% | \$0.6M | 1.4% | \$7.4M | 16.5% |
| 2003 | \$31.1M | \$0.3M | 1.1% | \$2.8M | 9.1% | \$5.3M | 17.0% | \$8.5M | 27.2% |
| 2004 | \$45.5M | \$1.8M | 4.0% | \$3.9M | 8.5% | \$0.0M | 0.0% | \$5.7M | 12.5% |
| 2005 | \$11.8M | \$1.8M | 14.9% | \$0.0M | 0.3% | \$0.9M | 7.5% | \$2.7M | 22.7% |
| 2006 | \$91.2M | \$6.0M | 6.6% | \$10.8M | 11.8% | \$0.0M | 0.0% | \$16.8M | 18.4% |
| 2007 | \$125.6M | \$2.1M | 1.7% | \$6.9M | 5.5% | \$0.0M | 0.0% | \$9.0M | 7.2% |
| 2008 | \$110.2M | \$5.0M | 4.5% | \$6.4M | 5.8% | \$0.0M | 0.0% | \$11.4M | 10.3% |
| 2009 | \$74.3M | \$2.8M | 3.8% | \$4.9M | 6.5% | \$0.0M | 0.0% | \$7.7M | 10.4% |
| 2010 | \$86.3M | \$4.1M | 4.8% | \$7.6M | 8.8% | \$0.6M | 0.7% | \$12.3M | 14.2% |
| 2011 | \$84.1M | \$2.2M | 2.6% | \$8.8M | 10.5% | \$0.8M | 1.0% | \$11.8M | 14.1% |
| 2012 | \$83.6M | \$2.5M | 3.4% | \$12.7M | 15.2% | \$0.5M | 0.6% | \$16.0M | 19.2% |

Grand Totals

| FY | All IHEs | HBCUs | HBCU% of IHE | HHEs | HHE% of IHE | TCUs | TCU% of IHE | Total HBCU, HHE, & TCU | Total HBCU, HHE, & TCU % of IHE |
|------|------------|---------|--------------|----------|-------------|---------|-------------|------------------------|---------------------------------|
| 2012 | \$5,230.7M | \$97.3M | 1.9% | \$145.9M | 2.8% | \$10.2M | 0.2% | \$253.4M | 4.8% |

The transfer of EPSCoR from EHR to R&RA is reflected from FY 2006 onward for comparability. Numbers may not add due to rounding.